

Request for Proposals

Industry Partnerships

August 15, 2011

Kentucky Workforce Investment Board

Kentucky Education and Workforce Development Cabinet

Section 1 – Background, Introduction, and Program Design

Industry Partnerships are a particular kind of “workforce intermediary,” a so-called dual customer institution that helps connect and meet the needs of both workers and businesses. Industry Partnerships bring together multiple employers, and workers or worker representatives when appropriate, in the same sector to address common or overlapping human capital needs.

Industry Partnerships (IPs) are a key institutional innovation for identifying and meeting the skills needs of businesses, the career goals of workers, and the economic development goals of the Commonwealth.

Effective Industry Partnerships can accomplish the following:

- Develop a deep, thorough and forward-looking understanding of the human capital needs and critical challenges of the industry cluster through the regular interaction of partnership members, trade associations, and industry experts
- Identify the training needs of businesses, including skill gaps critical to competitiveness and innovation;
- Facilitate companies to come together to aggregate training and education needs and achieve economies of scale;
- Help educational and training institutions align curriculum and programs to industry demand, particularly for higher skill occupations;
- Inform and collaborate with Kentucky Career Centers, youth councils, business-education partnerships, parents and career counselors and facilitate bringing employers together to address the challenges of connecting youth to careers;
- Help companies identify and work together to address common organizational and human resource challenges – recruiting new workers, retaining incumbent workers, implementing high-performance work organization, adopting new technologies and fostering experiential on-the-job learning;
- Identify barriers to entry level employment for workers and youth and strategies to remediate those barriers;
- Develop new career lattices within and across companies, enabling entry-level workers to improve skills to advance into higher skill, higher wage jobs;
- Develop new industry credentials that give companies confidence in the skills of new hires and workers more mobility and earning potential across firms; and
- Establish communication networks between firms, managers, and workers to promote innovation, potential economies of scale in purchasing and other economic activities, and dissemination of best practices. In some cases, these activities result in the development of new learning collaborative, Centers of Excellence, or joint economic development activity.

Applicants seeking funding to develop Industry Partnerships may be eligible to receive grants ranging from \$5,000 to \$65,000 with future opportunities.

The Commonwealth's Targeted Sectors

The Commonwealth's targeted sectors as identified through the Kentucky Workforce Investment Board (KWIB) Sector Strategies Initiative were defined based on detailed industry analysis. The KWIB, in conjunction with the Education and Workforce Development Cabinet, engaged the services of Maher & Maher to facilitate and provide technical expertise for the development of sector strategies. A data-driven process, supplemented by stakeholder expertise, sector strategy implementation has defined the Commonwealth's key industry sectors. The consultants along with KWIB members, the local knowledge of leading Local Workforce Investment Boards, and input from representatives from the Kentucky Community and Technical College System (KCTCS), Department of Commercialization and Innovation, Cabinet for Economic Development, Education and Workforce Development Cabinet and other key stakeholders, continue to research and monitor the commonwealth's economic drivers to understand the dynamics of job creation and earnings, strengthening Kentucky's economic base.

Key data elements considered for defining Kentucky's Sector Strategy approach included: Historical Growth, Future Projection, Industry Concentration, Industry Competitiveness, Export Orientation, Job Multiplier Effects, Earnings Multiplier Effects, Industry Average Wage, and Workforce Compatibility. The accumulation of this data along with input from a data team and Steering Committee members provided Kentucky with five statewide world-class sectors on which to focus.

- 1 Automobile/Aircraft Manufacturing
- 2 Transportation, Distribution and Logistics
- 3 Business Services and Research & Development
- 4 Health Care/Social Assistance
- 5 Energy Creation/Transmission

See also www.workforcekentucky.ky.gov for additional Kentucky industry information as well as www.kysectorstrategies.com to access the online sector strategies toolkit and regional economic reports. In addition, the following link provides related tools and resources from the Commonwealth of Pennsylvania's Industry Partnership efforts which applicants may find useful in the development process:

http://www.paworkforce.state.pa.us/portal/server.pt/community/industry_partnerships/20341

Kentucky conducted a World-Class Sector Strategies Institute June 2011. The Commonwealth will entertain Industry Partnership applications in the regional target sectors identified as a result of the sector strategies consensus decision making process. Please feel free to contact your Local Workforce Investment Board Director to identify the regional target sectors in your area. Contact information can be found at the following link:

<http://oet.ky.gov/des/documents/LWIAContacts2009.pdf>. In some cases, regions may identify a sector not listed above or in the current list of regional target sectors that is of critical importance to local economies. Industry Partnership applicants may apply for partnerships funds to support such a sector, but must demonstrate that labor market analysis has been conducted to identify the importance of the cluster to the region.

Section 2 - Eligible Applicants

Entities knowledgeable or experienced in working with the targeted sector (or sub-clusters) may apply for Industry Partnership funds. The lead applicant must be capable of bringing together multiple partners to achieve the overall projects goals, including but not limited to, coordinating the design of the project, developing an appropriate budget, collecting performance management measures, and coordinating the activities of the project. The lead applicant must possess the capability to identify public and private resources available for workforce development relevant to the work being proposed by the partnership, and must develop a plan to access those resources on behalf of the project. The lead applicant should have a leadership role in developing and maintaining the Industry Partnership through ongoing interaction with the regional provider networks, businesses and employee representatives.

The lead applicant and any person or organization involved in partnership management and/or coordination, may not seek reimbursement for training services that they provide (the costs of these services may be applied as matching funds). Training must be provided by an organization or individual who is unaffiliated with the lead applicant and any person or organization involved in partnership management and/or coordination. This includes circumstances in which a lead applicant and/or partnership management/coordination representatives contracts with individual training providers to provide training or deliver training programs on behalf of the lead applicant organization.

To ensure collaboration and alignment with other regional initiatives, Local Workforce Investment Boards (LWIBs) must be represented in the Partnership. LWIBs will serve as the fiscal agent for grant funds and will work with the lead applicant in monitoring and compliance. Additionally, LWIBs will be required to follow their Board's approved contracting procedures.

All applications must be submitted through the LWIB, along with a letter of support from the LWIB. The following entities are eligible to serve as lead applicants as long as the above conditions are met:

- Single or a consortium of local workforce investment boards
- Economic development authorities or agencies
- Department of Commercialization and Innovation partners
- Industrial development authorities and corporations
- Non-profit organizations or associations serving as regional or local workforce intermediaries
- Business consortia and/or associations, including entities such as chambers of commerce
- Organized labor
- Labor/management partnerships

Section 3 – Program Goals

The intent of the Industry Partnership Program is to encourage initiatives that are tailored to meet the needs of a sector and its regional workforce. Funds will be awarded to Partnerships that are comprised of a consortium of employers representatives, and where

possible, employee associations, organized labor and/or representatives from the workforce.

The long-term goal for this initiative is to create a sustainable infrastructure that will provide employer-led training and education that enhances the skills of incumbent workers, raising earnings for workers and revenues of businesses by increasing productivity and the quality of services within Kentucky.

The application must address how the partnership will leverage resources from other public/private workforce development programs, foundations, Kentucky Career Centers and economic development programs.

Section 4 - Application Content/Format

This section provides information on the required format and content of application submissions. Applicants are required to submit one original and three paper copies of all application materials. The following format requirements apply:

1. **Page Limit:** **The application is limited to ten (10) pages.** This page limit does not include the application form, project budget, timeline, organizational qualifications, staff resumes, or other information appropriate for the appendix. (Application, Project Budget and Timeline forms are attached). Exceeding the page limitation listed will be considered non-responsive.
2. **Organization:** The application should be organized using the numbered format outlined below. Applicants are advised to address each sub-criterion in the section where it is requested in order to facilitate reviewer evaluation of the application.
3. **Industry Partnership Proposals** should provide comprehensive background data and information to ensure you are building a case to support the Industry Partnership. The proposal should address the components outlined under *Effective Industry Partnerships* on page one. The applicant must present a clear and well-conceived overall approach to the project, including detail demonstrating that the project will be implemented in a way that will achieve the program's goals and objectives. An approach to developing a strategic plan that provides sufficient detail for a reviewer to clearly understand how each aspect of the project will be implemented is often helpful in demonstrating feasibility. Such an approach might include a list of milestones, linkages to proposed project outcomes, a discussion of how those milestones will be achieved, and an analysis of any factors that might affect the schedule and proposed strategies for dealing with them.

Partnerships must complete each of the following sections in the listed numerical format, but the information supplied should be relevant to its existing structure. Partnerships are encouraged to review the materials from Kentucky's Sector Strategy Online toolkit located at www.kysectorstrategies.com.

- I. **Partnership Abstract** – A brief summary describing the partnerships scope of work, project outcomes and future activities. The summary overview must be between 500 and 1000 words.

- II. Partnership Data-Analysis** – A summary describing the local area’s need for this partnership. This must include an evaluation of the industries critical to the local economy and include detailed documentation from collaboration with industry and/or through published workforce information on specific occupational needs, skill gaps, location quotient, and career opportunities within these industries over the next five years. The factors contributing to these needs such as industry growth, an aging workforce, emerging career fields, technological advances, etc. should also be included.
- III. Integration and Alignment to Workforce Investment Initiatives** –
- a. Indicate how the partnership will align with existing regional economic development and workforce development providers and other fund providers such as but not limited to: Kentucky Career Centers, Economic Development agencies, Kentucky Adult Education, KCTCS and local foundations.
 - b. Establish the role(s) and responsibilities of regional workforce, education and economic development partners;
 - c. Provide a summary describing the role of the local workforce investment board (LWIB) within the partnership. Describe the roles of the LWIB staff, the fiscal process, contracting, local monitoring and evaluation, and the LWIBs use of administrative funds.
 - d. Demonstrate how partnerships are connected to the KWIB Strategic Plan.
- IV. Description of Partnership** – This section should include descriptions on the following:
- a. The mission, vision and goals of the regional partnership;
 - b. The partners currently participating (all partnerships must have at least 10 employers participating);
 - c. Capacity building and recruitment strategy for existing and new employers, worker representatives or other stakeholders;
 - d. History of previous activities undertaken by the partnership (if applicable);
 - e. Planned or existing governance structure of partnership (employer intermediary, organizational structure, frequency of meetings, decision making, communication strategies, etc.);
 - f. Project management - information provided should describe the approval process of selecting an IP project manager. If a project manager has been selected, please provide a resume for that individual. If a project manager is to be hired, please provide a draft job description for the position (provide in appendix);
 - g. Outline of needs and challenges that may serve as catalysts for business and stakeholder engagement; do not list statewide described needs identified by the state sector analysis, it must be region specific; and tools used to determine training needs.
- V. Project Design/Goals** – Projects must demonstrate an understanding of the sector and employer and employee needs.
- a. This section should briefly describe key elements of the project design and how these elements respond to employers’ and workers’ needs as well as the demands of the workplace. At a minimum, the proposed project should describe the following how the IP will:
 - i. assess the needs of employers and employees to support a talent pipeline;
 - ii. develop career pathway and advancement strategies; and
 - iii. approach the sustainability of the partnership.

- VI. Projected Outcomes** – Describe the planned quantitative and qualitative outcomes of this project, how these outcomes will meet longer terms goals, and how these outcomes will be measured. This section should clearly state that the applicant would provide data for outcomes expected from the project.

Section 5 - Disallowable Costs and Activities

Although the proposed Industry Partnership plan may contain some of these elements, the grant award cannot be used to pay for the costs associated with items below. However, additional partnering agencies and programs may be available to assist with some of the provisions related to a comprehensive training plan or business strategy.

- Equipment or building construction
- Support lease or rental cost of building
- Website development or maintenance
- Indirect Fees
- Administrative costs in excess of 5%
- Indirect costs – costs that have been incurred, for common or joint objectives and cannot be readily identified with a particular final cost objective
- Projects cannot violate any conditions of a collective bargaining agreement

Section 6 - Proposal Submission/ Miscellaneous

1) Technical Assistance – Will be provided by the KWIB or Office of Employment and Training in areas such as, but not limited to:

- recruiting employers into the partnership;
- sustaining employers participation in partnership;
- labor market and/or cluster analysis;
- assessing the training needs of multiple employers;
- sustaining partnership beyond the organizational stage;
- aligning other educational, economic development, welfare and community partners for maximum effectiveness; and
- statewide sector strategies.

2) Timeline for Applications

- Applications will be accepted for review and funding consideration on or before 4:00 p.m. Eastern Time on October 10, 2011, but will be subject to the availability of funds and consideration of the partnerships ability to expend the funds before they expire.
- **Award Notices** – Applicants selected for award will be contacted directly before the grant's execution and non-selected applicants will be notified by mail.

3) Reports – The grantee is required to provide quarterly reports and other documents to the

Industry Partnership Coordinator. LWIBs are mandated partners and serve as the fiscal agent for all Industry Partnership grants. All reports must be submitted to appropriate LWIB for review and approval. All records shall be made available for review to Department of Workforce Investment staff. *Quarterly and Year-end Reports and similar reports must be submitted to the LWIB for timely submission to the Industry Partnership Coordinator or funding may be suspended.*

4) Proposal Grading Criteria:

Industry Partnership proposals will be evaluated on the extent to which they incorporate the requirements set forth in this guidance. Additionally, the WorkSmart Strategic Plan established by the KWIB will serve as a baseline for grading criteria for all submitted proposals. Partnerships should address critical and relevant components as outlined in the Plan and are encouraged to acknowledge this and outline a plan of approach and action.

Proposals will also be evaluated on the extent to which they incorporate: A) strategic assistance to business; B) strategic assistance to workers; C) institutional alignment and long-term systemic change and D) strong governance and sustainability.

Preference will be given to projects that meet the following additional criteria:

- Strengthen relationships between small and mid-sized suppliers and their corporate buyers.
- Proposals that demonstrate short and long-term strategies enhancing recruitment and retention of minorities and women, especially for those industries where they are underrepresented. Programs in this area could be linked with strategies that improve chances for extended employment of new recruits.
- Projects that focus on assisting low wage workers, particularly current or former TANF clients advance into better paying jobs and careers.
- Projects that bring together multiple local workforce investment boards in a consortium to address workforce issues in an industry cluster.
- Projects that are working to identify replicable career pathways within or across clusters
- Projects that are addressing the need for certification and credentialing for high priority occupations, including but not limited to credit bearing courses and articulation agreements between educational providers.
- Projects that are working to develop and implement human resource practices in addition to training that aim to increase retention and career advancement opportunities
- Combine and take the form of a regional partnership within an industry cluster (in order to encourage LWIB collaboration proposals from two or more regions will not be subject to the funding maximums)

5) Funding - The maximum for any one Industry Partnership grant is \$65,000. Total funds available are \$500,000.

The funding period for the grant is one year or until December 31, 2012. Partnerships that have an unencumbered fund balance at September 30, 2012 may be required to return funds to the Agency.

Please submit the original and three (3) paper copies of the proposal along with an electronic copy no later than 4:00 p.m. Eastern Time on October 10, 2011 to:

**Patricia Dudgeon, Industry Partnership Coordinator
Office of Employment and Training
Division of Workforce and Employment Services
275 East Main Street, CHR 2nd Floor, 2 W-A
Frankfort, Kentucky 40621**

For further information, please contact:

**Patricia Dudgeon
Office of Employment and Training
(502) 782-3032
Patriciao.dudgeon@ky.gov**

Applications that do not adhere to these guidelines will be considered non-responsive and not be reviewed.

Appendices

When preparing an industry partnership proposal, the following appendices should be attached to the grant submission:

- **Appendix A – Evaluation & Reporting:** Applications must include a statement that applicants are willing to collect partner data (including Federal Employer Identification Network (FEIN) of participating companies). An additional statement should indicate that the lead applicant is willing to participate in a third-party evaluation by providing data and access for interviews, and by participating in networking with other partnerships. (The evaluation process will be designed in collaboration with grantees to ensure that it does not impose an unreasonable burden on participating firms and to maximize opportunities for learning that benefit partnership members.) Grantees may also be invited to serve as part of state and national learning collaborative on innovation and sector-based workforce development. (Reference Attachment 2-Application Form)
- **Appendix B – Industry Partnership Time Line** - This section should also include a timeline for the program design and implementation. (Reference Attachment 1-Time Line)
- **Appendix C – Additional supporting documents:** Resume and job descriptions, spreadsheets, and additional supporting documents should be included in this section.
- **Appendix D - Sustainability Plan** – Evidence of any prior or ongoing sustainability activities or commitments that support sustainability; and
- **Appendix E - Budget form:** Partnerships must provide a budget and budget narrative. The budget must include a separate budget narrative that provides additional information on each cost category and indicates how the grant funding is tied to program design and goals. Partnerships should anticipate allocating minimal expenses to travel for KWIB statewide meetings. These documents will serve as the Commonwealth's record of partnerships' plans for project implementation. In instances where grant funds are not awarded as originally requested, LWIBs will be required to submit corrected budget and budget narrative to serve in this capacity. Standard budgeting changes within line items during a program year are not required for submission. (Reference Attachment 3-Budget Form)

Attachment – 1

Sample Industry Partnership Time Line - This section should include a timeline for all aspects of the project, with particular emphasis on program design. The sample timeline table below should be modified to fit your project.

	Outline of Process	Duration	Start Date	Finish Date
Creating a program foundation				
	Identifying the partnership			
	Recruiting additional stakeholders			
	Selecting a program			
	Hiring project manager			
Program Design				
	Recruiting and selecting firms			
	Assessing training needs			
	Selecting training to be delivered			
	Aligning the resources of existing training systems			
	Designing curriculum			
	Designing assessments			
Program Support				
	Identify and implement support activities			
	Define process for recruiting and selecting training participants			
	Define measures of program success			
Define Next steps to support partnership sustainability				

Attachment 2 – Application

Application for Kentucky Industry Partnership		
1. Type of Submission: <input type="checkbox"/> New <input type="checkbox"/> Continuation	2. Type of Application <input type="checkbox"/> Industry Partnership	3. Applicant Type:
4. Date Received: (OET use only)	5. Local Workforce Investment Board:	
6. Grant Title:	7a. Targeted industry Sector: 7b. Industry:	
8. APPLICANT INFORMATION:		
a. Applicant Name:		
b. Address: *Street 1: _____ *Street 2: _____ *City: _____ *State: _____ *Zip / Postal Code: _____		
c. List all LWIBs involved in this grant: <input type="checkbox"/> Letters of support from all participating LWIBs attached.		
9. Name and contact information of person to be contacted on matters involving this application:		
First Name: _____ Last Name: _____ Title: _____ Telephone Number: _____ Email: _____		
10. Program manager: (if different from above)		
First Name: _____ Last Name: _____ Title: _____ Telephone Number: _____ Email: _____		
11. Counties served by this grant:		
12. Legislative Districts partnership covers: a. Senate: _____ b. House of Representatives: _____		
13. Funding Proposal Request (\$):	14. Partnership Checklist (check each box represented in partnership)	
*a. Labor & Industry *b. In-Kind Match *c. Cash Match *d. TOTAL	(check each box represented in partnership) <input type="checkbox"/> LWIB <input type="checkbox"/> Minimum of 10 employers <input type="checkbox"/> Labor/unions <input type="checkbox"/> KY Career Center Business Services <input type="checkbox"/> Foundations <input type="checkbox"/> Regional Partnership <input type="checkbox"/> Other	
15. Authorized Representative:		
*Signature of Applicant: *Print Name:		*Date Signed:

Attachment 3 – Budget Form

Budget Information for Industry Partnership				
BUDGET SUMMARY				
Grant Program Activity	FY 2012 Budget Request	Cash Matching Funds	Value of In-Kind Services	TOTALS
Industry Partnership	\$			\$
BUDGET SPECIFICS – BREAKDOWN OF GRANT FUNDING REQUEST <i>(Do not list in-kind or matching funds on this sheet)</i>				
Categories	Industry Partnerships			Totals
Administration <i>(not to exceed 5%)</i>				\$
Program Manager				
Salary				\$
Benefits				\$
Travel				\$
Subtotal	\$			\$
Other Costs				
Materials – Equipment not eligible				\$
Outreach – Provide details				\$
Contracted Services – List details separate				\$
Office supplies, Misc. & Other Costs – provide details				\$
SUBTOTAL	\$			\$
Provide sources and amounts of matching funds in budget narrative				
Total Grant Request		\$		

Attachment 3 – Budget Form